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Title	Pub. Date	Int. Class	Applicant
26. (WO 2004/068383) METHOD AND SYSTEM FOR TRADING A FOREIGN EXCHANGE SWAP CERTIFICATE	12.08.2004	G06F 17/60	UBS AG
A method, system and computer readable medium are provided (100) which effectively executes underlying transactions of a financial instrument having a foreign swap component (118) and an investment component (120). The swap component includes a spot transaction and a forward transaction while the short term investment component includes investing the money resulting from the spot transaction in an investment, such as in a money market or bond investment. Three different financial instruments/certificates are provided to offer different returns based on different expectations of interest rates and, in particular, of changes in the differential between the interest rates (108) of two selected currencies.			
27. (WO 2004/066172) METHOD AND SYSTEM FOR TRADING AN ASSET SWAP CERTIFICATE	05.08.2004	G06F 17/60	UBS AG
No Abstract			
28. (WO 2004/064290) SECONDARY TRANSFERS OF RESTRICTED INTERESTS	29.07.2004	G06F 17/30	NYPPE HOLDINGS, LLC
A facility (16) that provides information about and enables secondary transfers of restricted interests in issuers (12). Unlike securities that are listed for public trading on exchanges, interests in private companies, partnerships, and other ventures are typically transferred from sellers (20) to buyers (18). The transfers may be restricted by governments through federal and state securities laws and regulations or by issuers (12) of the interests through contract or the administrative control of the board of directors or a general partner. The intended phrase "restricted interests" is used in companies, partnerships, and other ventures, in a context in which there are more restrictive limitations on transferring the interests...			
29. (WO 2004/023258) EXCEPTION REPORTING AND MANAGEMENT	18.03.2004	G06Q 20/00	DE LA RUE INTERNATIONAL LIMITED
A method of electronically managing a payment media exception processed from a payment media originating source by a payment media handling apparatus. A payment media operation request is received (S1110). There is determined whether payment media exception exists (S1120). The payment media exception is processed (S1130) utilizing rules in a lookup table or store defined or remotely defined. The appropriate entities re notified of payment media exception processing (S1140).			
30. (WO 2004/023257) PAYMENT AND MEDIA MANAGEMENT	18.03.2004	G06Q 20/00	DE LA RUE INTERNATIONAL LIMITED
This invention provides systems and methods that minimize or remove human intervention during the payment media handling process on the shop floor, in the back office (30) and at the cash-in-transit place (20n). By automating processes and providing physical, tamper evident secure means for transporting the payment media, it is possible to limit, if not remove the need for retail (10) staff to handle payment media. This invention also provides systems and methods that enable the retailer (10) to count, reconcile (42) and prepare the payment media in a format that is acceptable to the commercial banks (50). This invention further provides systems and methods for a secure audit trail that details payment media movement from the payment media ...			
31. (WO 2004/023255) CAPACITY MANAGEMENT AND TIMING	18.03.2004	G06Q 20/00	DE LA RUE INTERNATIONAL LIMITED
System and method of electronically managing payment media capacity for a payment media handling apparatus. A payment mediaprocessing request is received (S910). There is automatically determined the payment media capacity (S920). A payment media action is performed based on payment media capacity determination (S930). The payment media action is modified in response to input from a store operator (S940).			
32. (WO 2004/023254) AUDIO/VISUAL CLIPS	18.03.2004	G06Q 20/00	DE LA RUE INTERNATIONAL LIMITED

This invention provides systems and methods that minimize or remove human intervention during the payment media handling process on the shop floor, in the back office and at the cash-in-transit place. By automating processes and providing physical, tamper evident secure means for transporting the payment media, it is possible to limit, if not remove, the need for retail staff to handle payment media. This invention also provides systems and methods that enable the retailer to count, reconcile and prepare the payment media in a format that is acceptable to the commercial banks. This invention further provides systems and methods for a secure audit trail that detail payment media movement from the payment media originating source to the bank.

33. (WO 2004/023252) COUNT AND LOGIN MANAGEMENT 18.03.2004 G06Q 20/00 DE LA RUE INTERNATIONAL LIMITED

Systems and methods that minimize or remove human intervention during the payment media handling process on the shop floor, in bank office and at the cash-in-transit place. By automating processes and providing physical, tamper evident secure means for transporting the payment media, it is possible to limit, if not remove, the need for retail staff to handle payment media (S1210). Systems and methods that enable the retailer to count, reconcile, and prepare the payment media in a format that is acceptable to the commercial banks (S1240). Systems and methods for a secure audit trail that detail payment media movement from the payment media originating source to the bank.

34. (WO 2004/006057) SECURITIZING CONTRACTS 15.01.2004 G06F 17/60 NEW YORK MERCANTILE EXCHANGE, INC.

In a method and system for securitizing contracts valued on an index, a special purpose entity (SPE) (110) is provided and holds as substantially all of its assets a derivative contract with a contract dealer (120). The contract has an initial notional value and is tied to an index related to items traded by a multilateral transactional execution facility (150), such as futures contracts traded on an exchange. The held contract is also scalable so that the notional value can be increased on demand in exchange for a corresponding payment to the contract dealer (120) and decreased on demand in exchange for a corresponding payment from the contract dealer (120). The SPE (110) issues exchange tradable securities (130) that derive value based on...

35. (WO 2003/096253) BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM 20.11.2003 G06Q 10/00 UBS PAINWEBBER, INC.

A browser interface (200) for providing financial services is provided. The interface comprise a toolbar (202); a task menu (400) wherein each task is associated with a number of financial applications; an object menu (401) associated with each task which provides a link to each financial application; and an action menu (204) for presenting one or more actions specific to a user-selected financial application. The task menu is always present on the browser interface and the object and action menus vary depending upon the options selected. The financial applications include market monitoring functions, portfolio reviews, model balancing, and automated trading.

36. (WO 2003/085491) DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 16.10.2003 G06F 17/60 LONGITUDE, INC.

A system and method for replicating derivatives strategies and for trading derivatives strategies in a demandbased trading market is provided. The system and method include a plurality of client devices (160) to (200) for establishing communications to a central controller (100). The central controller (100) includes an application server (210) responsible for processing requests for services and for routing the requests for services to other software and hardware components within central controller (100). An object request broker (ORB) (230) functions for receiving, aggregating and marshalling service requests from the software application server (210). A transaction server (240) functions for updating investor account and for processing ...

37. (WO 2003/083602) SYSTEM AND METHOD FOR CONDUCTING WEB-BASED FINANCIAL TRANSACTIONS IN CAPITAL MARKETS 09.10.2003 G06Q 30/00 INTEGRAL DEVELOPMENT CORPORATION

A method and system that enable users to interactively engage in capital market transactions via the internet (10). The system includes a variety of servers (90, 100), applications, and interfaces that enable users to interactively communicate and trade financial instruments among one another, and to manage their portfolios.

38. (WO 2003/065278) A SYSTEM FOR FACILITATING A TRANSACTION 07.08.2003 G06Q 20/00 GOLDMAN SACHS & CO.

A system for facilitating a transaction involving a first party (501) having a long position in a security (509) and a second party (505) desiring to acquire short exposure to the security. In one example an agent or intermediary (507) acts between the first party and the second party. In another example the first party and the second party deal directly with one another.

39. (WO 2003/055195) SYSTEM AND METHOD FOR RATE ENHANCED SHDSL 03.07.2003 H03H 17/02 GLOBESPAN VIRATA INCORPORATED

An embodiment of the present invention is directed to a rate enhanced system for supporting duplex transmission of symmetric data rates. The system comprises an encoder comprising a serial to parallel converter for receiving a serial data bit, and for generating a parallel word having M bits; a convolutional encoder for receiving a first bit of the M bits of the parallel word, and for generating two

encoded bits; and a mapper for receiving the two encoded bits and the remaining M-1 bits of the parallel word, and for generating a symbol; wherein M is greater than three.

40. (WO 2003/023575) DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 20.03.2003 G06Q 50/00 LONGITUDE, INC.

Methods and systems for conducting demand-based trading are described. In one embodiment, states are established, each state corresponding to at least one possible outcome of an event (264) of economic significance. An investment amount may be determined as a function of a selected outcome, a desired payout (266), and a total amount invested in the states (264). In another embodiment, an investment amount may be determined as a function of parameters of a financial product. In another embodiment, a payout may be determined as a function of an investment amount, a selected outcome, a total amount invested in the states, and an identification of a state corresponding to an observed outcome (263) of the event.

41. (WO 2002/103487) METHOD FOR STRUCTURING A TRANSACTION 27.12.2002 G06Q 20/00 GOLDMAN SACHS & CO.

In one embodiment, a method for structuring a transaction between a first party having a long position in a security (101) and a second party (103) is disclosed. In another embodiment, a method for structuring a transaction involving a first party having a long position in a security, and a second party acting as a transaction facilitator is disclosed, and a third party desiring to acquire a short exposure to the security is provided.

42. (WO 2002/099601) A SYSTEM AND METHOD FOR STRUCTURING AND OPERATING A CREDIT INDEX 12.12.2002 G06Q 30/00 GOLDMAN SACHS & CO.

The present invention relates to a system and method for structuring and operating a credit index (Figure 1). The method of selection includes specifying criteria and conditions for inclusion in an initial subset of bonds, determining a liquidity score (Figure 1) for each bond in the initial subset, segmenting the bonds into a matrix (Figure 1) and selecting bonds based on liquidity score and their position in the matrix (Figure 1).

43. (WO 2002/099589) A SYSTEM AND METHOD FOR DETERMINING THE LIQUIDITY OF A CREDIT 12.12.2002 G06Q 30/00 GOLDMAN SACHS & CO.

The present invention relates to a credit index, a system and method for structuring a credit index, a system and method for operating a credit index, and a system and method for determining the liquidity (1) of a credit.

44. (WO 2002/097580) SECURITIES TRADING SYSTEM WITH MULTIPLE LEVELS-OF-INTEREST 05.12.2002 G06F 17/60 ESPEED, INC.

Disclosed is a securities trading program for trading individual lots of a security which can be run at a security trader's computer station. The program generates a trading screen comprising a listing of multiple bids for the security, each bid having a price, as well as a listing of multiple priced offers for the security. The bid and offer listings (70, 72) are active, enabling the trader to hit any one of the displayed bids or take any one of the displayed offers, for example by selecting and clicking on a displayed bid or offer. In one embodiment, the bids and offers are arranged in side-by-side columns on the trader's screen, helping the trader to rapidly overview the market for a particular security, and compare different, possibly c...

45. (WO 2002/095528) TRADING SYSTEM 28.11.2002 G06F 17/16 DYNEGY, INC.

An exemplary embodiment of a system (10) for trading products includes a web host computer (12) that is operably coupled to the Internet (14) by a communications link (16). Users A and B, (18a) and (18b), respectively, are operably coupled to the Internet (14) by communication links, (20) and (22), respectively, and master users A and B, (24a) and (24b), respectively, are operably coupled to the Internet (14) by communication links, (26) and (28), respectively.

46. (WO 2002/091275) SECURITIES ANALYSIS METHOD AND SYSTEM 14.11.2002 G06F 17/60 ROSENDORF, Charles, Hillel

A system for analyzing financial data comprises a computer having a communication means for obtaining one or more points of data related to a security (210); means for storing the obtained data in a memory; a means for obtaining a second point of data related to the security and a means for storing the second data point in the memory; a means for comparing the data (202) from the obtained data points with the data of an additional data point related to the security, the additional data point being randomly chosen from data points, and a display means to display the compared data. The data points between which the randomly chosen data points prior to comparing the data, which is displayed in a format such as a table, spreadsheet export file,...

47. (WO 2002/075491) MARGIN RELEASE SYSTEM FOR AN ELECTRONIC-BASED MARKET 26.09.2002 G06Q 40/00 ON EXCHANGE, INC.

A system (11) for an electronic-based market is disclosed. The system (11) operates with a model where a trader (16) is designated to enter orders for contracts on behalf of a subscriber (12). The model uses assets of the subscriber (12) that are placed into an account that is accessible by the electronic market to cover risks associated with trades initiated by the trader (16). The system (11)

account that is accessible by the electronic market to cover risks associated with trades initiated by the trader (10). The system (11) includes a plurality of client stations for entering orders into the electronic market by traders (16) and a server to receive the orders and match the orders in accordance with matching criteria. The server maintains for the subscriber (12) and the subscriber's associated traders (16) a trading account (18) that is accessible by the electronic market...

48. (WO 2002/074047) DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 26.09.2002 G06Q 50/00 LONGITUDE, INC.

The invention provides for trading and investing in derivatives or groups of demand-based adjustable return contingent claims, including digital options, and for establishing markets and exchanges for such claims. An issuer first selects an event of economic significance (300). In the preferred embodiment, the exchange then partitions the possible outcomes for the event into mutually exclusive and collectively exhaustive states (305), such that one state among the possible states in the partitioned distribution is guaranteed to occur, and the sum of probabilities of the occurrence of each partitioned state is unity. Trading then commences with the beginning (311) of the first trading period (310). At the close of the final trading period ...

49. (WO 2002/069112) ELECTRONIC BARTERING SYSTEM WITH FACILITATING TOOLS 06.09.2002 G06F 17/60 HIMMELSTEIN, Richard

A bartering system (100) implements barter between a plurality of parties each having one or more classes of items available for barter. Preferably, barter orders are created by designating a selected quantity of a first class of items to be bartered, designating a date range for transferring title of the first class items to be bartered, designating a barter value of the first class of items to be bartered, and designating a second class of items to be acquired. Barter orders are posted via the Internet (102) to a barter database and may be displayed via the Internet. Posted barter orders (116) whose first class of items match the second class of items of a barterer's order are preferably displayed. Posted barter orders (116) from the dis...

50. (WO 2002/052369) SYSTEM AND METHOD FOR A UNIVERSAL TRADING PLATFORM 04.07.2002 G06F 17 06 FINANCIAL MARKETS SOLUTIONS, INC.

A system (Figure 1) for bringing separate pools of liquidity together to create a market over a communications network. A first processing module that receives a plurality of orders from users and compiles an overview of all of the plurality of orders. A second processing module that determines a best bid and a best offer from the plurality of orders. A third processing module that matches an order to one of the plurality of orders. A fourth processing module that determines whether the order satisfies one or more risk parameters before executing the order. A fifth module for matching a limit buy order related to a stop sell order, and a limit sell order related to stop buy order. If the limit buy order is related to a current market and a ...

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DE/trading: 84404 occurrences in 5348 records.

DE/real-time: 325174 occurrences in 76299 records.

(DE/trading AND DE/real-time): 2309 records.

DE/margin: 103725 occurrences in 22547 records.

((DE/trading AND DE/real-time) AND DE/margin): 365 records.

DE/swap: 20083 occurrences in 4676 records.

((((DE/trading AND DE/real-time) AND DE/margin) AND DE/swap): 77 records.

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de/contract and de/notional and de/volume and de/quantity



Title	Pub. Date	Int. Class	Applicant
1. (WO 2007/061970) CROSS-CURRENCY IMPLIED SPREADS	31.05.2007	G06Q 40/00	CHICAGO MERCANTILE EXCHANGE

The disclosed systems and methods relate to allowing trading of over the counter ('OTC') foreign exchange ('FX') contracts on a centralized matching and clearing mechanism, such as that of the Chicago Mercantile Exchange's ('CME's') futures exchange system (the 'Exchange'). The disclosed systems and methods allow for anonymous transactions, centralized clearing, efficient settlement and the provision of risk management/credit screening mechanisms to lower risk, reduce transaction costs and improve the liquidity in the FX market place. In particular, the disclosed embodiments increase speed of execution facilitating growing demand for algorithmic trading, increased price transparency, lower cost of trading, customer to customer trading, and ...

2. (WO 2007/061961) DETECTION OF INTRA-FIRM MATCHING AND RESPONSE THERETO	31.05.2007	G06Q 40/00	CHICAGO MERCANTILE EXCHANGE
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The disclosed systems and methods relate to allowing trading of over the counter ('OTC') foreign exchange ('FX') contracts on a centralized matching and clearing mechanism, such as that of the Chicago Mercantile Exchange's ('CME's') futures exchange system (the 'Exchange'). The disclosed systems and methods allow for anonymous transactions, centralized clearing, efficient settlement and the provision of risk management/credit screening mechanisms to lower risk, reduce transaction costs and improve the liquidity in the FX market place. In particular, the disclosed embodiments increase speed of execution facilitating growing demand for algorithmic trading, increased price transparency, lower cost of trading, customer to customer trading, and ...

3. (WO 2007/061857) MULTIPLE QUOTE RISK MANAGEMENT	31.05.2007	G06Q 40/00	CHICAGO MERCANTILE EXCHANGE
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The disclosed systems and methods relate to allowing trading of over the counter ('OTC') foreign exchange ('FX') contracts on a centralized matching and clearing mechanism, such as that of the Chicago Mercantile Exchange's ('CME's') futures exchange system (the 'Exchange'). The disclosed systems and methods allow for anonymous transactions, centralized clearing, efficient settlement and the provision of risk management/credit screening mechanisms to lower risk, reduce transaction costs and improve the liquidity in the FX market place. In particular, the disclosed embodiments increase speed of execution facilitating growing demand for algorithmic trading, increased price transparency, lower cost of trading, customer to customer trading, and ...

4. (WO 2007/061617) SYSTEM AND METHOD FOR CENTRALIZED CLEARING OF OVER THE COUNTER FOREIGN EXCHANGE INSTRUMENTS	31.05.2007	G06Q 40/00	CHICAGO MERCANTILE EXCHANGE
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The disclosed systems and methods relate to allowing trading of over the counter ("OTC") foreign exchange ("FX") contracts on a centralized matching and clearing mechanism, such as that of the Chicago Mercantile Exchange's ("CME's") futures exchange system (the "Exchange"). The disclosed systems and methods allow for anonymous transactions, centralized clearing, efficient settlement and the provision of risk management/credit screening mechanisms to lower risk, reduce transaction costs and improve the liquidity in the FX market place. In particular, the disclosed embodiments increase speed of execution facilitating growing demand for algorithmic trading, increased price transparency,...

5. (WO 2007/058684) SYSTEM AND METHOD FOR DIRECTED REQUEST FOR QUOTE	24.05.2007	G06Q 40/00	CHICAGO MERCANTILE EXCHANGE INC.
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The disclosed systems and methods relate to allowing trading of over the counter ('OTC') foreign exchange ('FX') contracts on a centralized matching and clearing mechanism. The disclosed systems and methods allow for anonymous transactions, centralized clearing, efficient settlement and the provision of risk management/credit screening mechanisms to lower risk, reduce transaction cost and improve the liquidity in the FX market place. In particular, the disclosed embodiments increase speed of execution facilitating growing demand for algorithmic trading, increased price transparency, lower cost of trading, customer to customer trading, and automated asset allocations, recurring trades as well as clearing and settlement efficiencies

6. (WO 2007/044430) PROCESS AND METHOD FOR ESTABLISHING A COMMODITY CEILING GAP OPTION TARGETED FOR RETAIL CONSUMPTION	19.04.2007	G06Q 40/00	DELTA RANGERS, INC.
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TARGETED FOR RETAIL CONSUMPTION

A product and process that will enable retail consumers to hedge their exposure to volatile household commodities, such as gasoline and natural gas, by implementing optionality through channels where individuals already purchase those commodities. In turn, this aggregated retail optionality provides an attractive investment vehicle for institutions active in the energy and commodity markets. A commodity supplier such as gasoline retailer (or natural gas utility, credit card issuer, etc.) can sell caps on the cost of gasoline, etc, to its existing customers, in return for a periodic premium billed to the customer's captive credit card statement or utility bill. A dealer can package and securitize the risk in tranches.

7. (WO 2006/060481) SYSTEM AND METHOD FOR CREATING ELECTRONIC REAL ESTATE REGISTRATION 08.06.2006 G06Q 40/00 DELL ORFANO, Michael

A system for providing a registered land asset includes a property transaction database in communication with a computer network the property transaction database provides information related to transactions associated with each registered land asset parcel, each land parcel having a registered land asset identifier representing global coordinates particular to the parcel. The system also includes a location characteristic database in communication with the computer network. The location characteristic database provides socioeconomic data regarding the location wherein the land parcel associated with the registered land asset is situated. A registered land asset contract may give a leaseholder an option to purchase the land by the end of a ...

8. (WO 2006/029517) SMART COMPOSITE MATERIALS FOR PLASTIC SUBSTRATES 23.03.2006 B32B 27/28 SILK DISPLAYS

A shapeable multilayer composite, and method of making same, having dimensional stability. The composite comprises at least two polymer substrates, each polymer substrate having a first and a second surface and each of the at least two polymer substrates being positioned sequentially such that each two consecutive polymer substrates are bonded together. Furthermore, a shapeable composite material, and method of making same, for use in the fabrication of liquid crystal displays using a shapeable multilayer composite as described above.

9. (WO 2006/002294) METHODS AND APPARATUS FOR ONLINE FOREIGN CURRENCY EXCHANGE 05.01.2006 G06Q 40/00 HIRSCHHORN, Eric

Objects of the invention comprise: (1) address limited price transparency; (2) address the market share domination held by the major banks; (3) address the failed competitive efforts of the past; and (4) address the cost problem associated with currency transactions. Various aspects of the invention address these issues. By way of example only, the software implementation of the present invention provides more price transparency to market action than previous systems; the non-deliverable forward aspect of the invention addresses the settlement cost issue; and the open-to-all-participants aspect of the invention addresses the oligopoly and profit structure issues. In one aspect, the invention comprises a non-deliverable currency system ...

10. (WO 2005/043437) SYSTEM AND METHOD FOR PROVIDING FUTURES CONTRACTS IN A FINANCIAL MARKET ENVIRONMENT 12.05.2005 G06F 17/60 ESPEED, INC.

No Abstract

11. (WO 2005/019986) ENHANCED PARIMUTUEL WAGERING 03.03.2005 G06Q 40/00 LONGITUDE, INC.

Methods and systems for engaging in enhanced parimutuel wagering and gaming. In one embodiment, different types of bets can be offered and processed in the same betting pool on an underlying event, such as a horse or dog race, a sporting event or a lottery, and the premiums and payouts of these different types of bets can be determined in the same betting pool, by configuring an equivalent combination of fundamental bets for each type of bet, and performing a demand-based valuation of each of the fundamental bets in the equivalent combination. In another embodiment, bettors can place bets in the betting pool with limit odds on the selected outcome of the underlying event. The bets with limit odds are not filled in whole or in part, unless t...

12. (WO 2005/003928) REPLICATED DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 13.01.2005 G06F 1/00 LONGITUDE, INC.

Methods and systems for trading and replicating contingent claims, such as derivatives strategies, in a demand-based auction are described. In one embodiment, a set of demand-based claims, each of which can be a vanilla option or a digital option, approximate or replicate the contingent claim into a vanilla replicating basis or a digital replicating basis, and the order for the contingent claim is then evaluated or processed in the demand-based auction. In another embodiment, a plurality of strikes and a plurality of replicating claims are established for a demand-based auction on an event, one or more replicating claims striking at each of the strikes in the auction. A contingent claim, such as derivatives strategy, is replicated with a re...

13. (WO 2004/048911) SYSTEM AND METHOD FOR TRACKING ENVIRONMENTAL EMISSION REDUCTIONS 10.06.2004 G01N 33/18 AGCERT INTERNATIONAL, LLC

A system for tracking environmental performance of a producer of environmental emissions and of associating individual environmental emission reductions to the producer, to a variety of collected data, or both includes selecting a production practice of the producer and an appropriate protocol for converting the production practice to a measure of environmental emissions. An

identifier for each quantifiable unit of environmental emissions a sequence portion characterizing a succession of units, a vintage portion characterizing the time period for the production practice, a protocol characterizing portion and a geographical reference portion. Such an identifier allows for a tracking of the processes that resulted in the environmental emissions...

14. (WO 2004/019255) RISK MEASUREMENT MANAGEMENT AND TRADE DECISIONING SYSTEM 04.03.2004 G06F 17/60 TURBEVILLE, Wallace, C.

A method of determining whether to allow a new trade of a contract in a system which determines the value of margin amounts (210) supporting trading and evaluates the total value at risk in a portfolio of traded contracts. The system compares (250) the value at risk in the portfolio to the value of margin amounts to calculate the excess available margin. After calculating the allowable notional trade volume, allowable notional trade quantity and the risk per unit of commodity for a new trade it determines whether the new trade has a value at risk which exceeds the excess available margin (270). It then approves or rejects the trade based upon a determination of whether the value at risk of the new trade exceeds the excess available margin. ...

15. (WO 2004/001635) SETTLEMENT OF AUCTIONS USING COMPLETE SETS AND SEPARATE PRICE AND QUANTITY DETERMINATION 31.12.2003 G06F 17/60 FUNG KA SHUN, Kevin

No Abstract.

16. (WO 2004/001525) METHOD AND SYSTEM FOR IMPROVING THE LIQUIDITY OF TRANSACTIONS FOR PM POOLS AUCTIONS 31.12.2003 G06F 17/60 FUNG, Ka, Shun, Kevin

A method and system for improving liquidity of transactions for a first plurality of contracts for a pari-mutuel (PM) pool or auction is disclosed. In one aspect, the method and system include providing a complete set including a second plurality of contracts. The complete set guarantees at least an initial settlement value at at least one particular time. The complete set also corresponds to a settlement value, which is determined based upon the initial settlement value. In another aspect, the method and system include obtaining a plurality of orders corresponding to a plurality of contracts. In this aspect the method and system include performing a price auction on the plurality of orders and then performing a quantity auction to determin...

17. (WO 2004/001524) METHOD AND SYSTEM FOR UTILIZING A SPECIAL PURPOSE VEHICLE FOR IMPROVING THE LIQUIDITY OF TRANSACTIONS 31.12.2003 G06F 17/60 FUNG, Ka, Shun, Kevin

A method and system for improving liquidity of transactions for a plurality of contracts is disclosed. In one aspect, the method and system include providing a special purpose vehicle for buying and/or selling at least a portion of a complete set including the plurality of contracts. The complete set guarantees at least an initial settlement at at least one particular time. The complete set also corresponds to a settlement value. The settlement value is determined based upon the initial settlement value. In another aspect, the method and system include defining a complete set including the plurality of contracts and allowing at least one market participant to lock in a trade for a portion of the plurality of contracts. The portion of the pl...

18. (WO 2004/001523) METHOD AND SYSTEM FOR MANAGING CREDIT-RELATED AND EXCHANGE-RATE RELATED RISK 31.12.2003 G06F 17/60 FUNG, Ka, Shun, Kevin

A method and system for managing risk for contracts offered for trading in systems is disclosed. A complete set of contracts includes the contracts, each of which matures upon events) occurring. The complete set guarantees at least an initial settlement value at at least one particular time. The complete set also corresponds to a settlement value, which is based upon the initial settlement value and an, preferably, interest rate effect, if any. A winning contract pays a notional upon maturing. Rate differentials) between systems, and hedging costs exist. In one aspect, the method and system include determining whether a matching trade in a second system for a trade in a first system is possible, determining whether conducting the trades is ...

19. (WO 2003/085491) DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 16.10.2003 G06F 17/60 LONGITUDE, INC.

A system and method for replicating derivatives strategies and for trading derivatives strategies in a demandbased trading market is provided. The system and method include a plurality of client devices (160) to (200) for establishing communications to a central controller (100). The central controller (100) includes an application server (210) responsible for processing requests for services and for routing the requests for services to other software and hardware components within central controller (100). An object request broker (ORB) (230) functions for receiving, aggregating and marshalling service requests from the software application server (210). A transaction server (240) functions for updating investor account and for processing ...

20. (WO 2003/083602) SYSTEM AND METHOD FOR CONDUCTING WEB-BASED FINANCIAL TRANSACTIONS IN CAPITAL MARKETS 09.10.2003 G06Q 30/00 INTEGRAL DEVELOPMENT CORPORATION

A method and system that enable users to interactively engage in capital market transactions via the internet (10). The system includes a variety of servers (90, 100), applications, and interfaces that enable users to interactively communicate and trade financial instruments among one another, and to manage their portfolios.

instruments among one another, and to manage their portfolios.

21. (WO 2003/023575) DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 20.03.2003 G06Q 50/00 LONGITUDE, INC.

Methods and systems for conducting demand-based trading are described. In one embodiment, states are established, each state corresponding to at least one possible outcome of an event (264) of economic significance. An investment amount may be determined as a function of a selected outcome, a desired payout (266), and a total amount invested in the states (264). In another embodiment, an investment amount may be determined as a function of parameters of a financial product. In another embodiment, a payout may be determined as a function of an investment amount, a selected outcome, a total amount invested in the states, and an identification of a state corresponding to an observed outcome (263) of the event.

22. (WO 2002/074047) DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR 26.09.2002 G06Q 50/00 LONGITUDE, INC.

The invention provides for trading and investing in derivatives or groups of demand-based adjustable return contingent claims, including digital options, and for establishing markets and exchanges for such claims. An issuer first selects an event of economic significance (300). In the preferred embodiment, the exchange then partitions the possible outcomes for the event into mutually exclusive and collectively exhaustive states (305), such that one state among the possible states in the partitioned distribution is guaranteed to occur, and the sum of probabilities of the occurrence of each partitioned state is unity. Trading then commences with the beginning (311) of the first trading period (310). At the close of the final trading period ...

23. (WO 2002/029694) LIQUID INSURANCE CONTRACTS 11.04.2002 G06Q 40/00 VAN SLYKE, Oakley, E.

A liquid insurance contract (LIC) comprises a security which is traded or tradable and which has cash flows to the issuer based upon a liability whose exact value is unknown at the time of issuance. A method for creating and trading these LICs, as well as other financial products derived from LICs, may include any of the following steps: writing at least one LIC; preparing regulatory filings for at least two LICs; issuing the two LICs; preparing regulatory filings for a financial product which includes at least one detachable LIC provision; issuing the financial product; creating at least one underwriter as a closed end fund owned by a parent company; placing ownership of at least a portion of an issue of the financial product in an underw...

24. (WO 2002/021347) MATERIALS SUPPLY CONTRACT SYSTEM AND METHOD 14.03.2002 G06Q 30/00 OzB2B PTY LTD

The invention relates to a materials supply contract system and method for use in conducting business on-line over a network of computers such as the Internet. A method is provided for a buyer to award a supply contract, issued as a BOM, to a supplier selected from a panel of predetermined suppliers which each have a base supply contract with the buyer, the method being conducted over a computer network which comprises at least one buyer computer, an administrator computer and at least two supplier computers, the method comprising the steps of sending a buyer message from the buyer computer to the administrator computer identifying the BOM which includes at least one predetermined parameter (e.g. material requirement, business and market ru...

25. (WO 2002/003302) BUYING AND SELLING GOODS AND SERVICES USING AUTOMATED METHOD AND APPARATUS 10.01.2002 G06F 17/60 ENRON NET WORKS LLC

A method and system are provided for a party to buy and sell goods and/or services from and to a plurality of counterparties over a computer network (12, 22). The party determines a best bid price and a best offer price at which the party is willing to buy or sell a good or service (28). The party transmits the best bid and offer prices over the computer network, which may be the internet. By accessing the computer network, a counterparty can see a display of a bid and offer (28) price for the good or service (26). The counterparty can click on the display to send a signal over the computer network to the party, and upon receipt of the signal, the party can buy the good or service from or sell the good or service to the counterparty. The me...

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